

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER
FORM PTO-1390 (REV 10-94)		10873.887USWO
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) filed herewith 10 / 070288
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/JP01/05822	December 5, 2001	July 5, 2000
TITLE OF INVENTION		
OPTICAL ELEMENT, SEMICONDUCTOR DEVICE, AND OPTICAL INFORMATION RECORDING DEVICE EMPLOYING THE SAME		
APPLICANT(S) FOR DO/EO/US		
Nakanishi et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) </p> <p>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. </p> <p>8. <input checked="" type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
Items 11. to 16. below concern document(s) or information included:		
<p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment; Mark-up copy showing the changes made. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input checked="" type="checkbox"/> Other items or information: PCT request and its English translation; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/346</p>		

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) filed herewith 10/070288	INTERNATIONAL APPLICATION NO. PCT/JP01/05822	ATTORNEY'S DOCKET NUMBER 10873.887USWO		
17. [X] The following fees are submitted:		CALCULATIONS PTO USE ONLY		
BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): Search Report has been prepared by the EPO or JPO.....\$890.00				
International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)).....\$710.00				
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$740.00				
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO \$1040.00				
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$100.00				
ENTER APPROPRIATE BASIC FEE AMOUNT =		\$890.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	20	-20 = 0	X \$18.00	\$0.00
Independent claims	3	-3 = 0	X \$80.00	\$0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$0.00
TOTAL OF ABOVE CALCULATIONS =		\$890.00		
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27		\$0.00		
SUBTOTAL =		\$890.00		
Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +		\$0.00		
TOTAL NATIONAL FEE =		\$890.00		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +		\$40.00		
TOTAL FEES ENCLOSED =		\$930.00		
		Amount to be: refunded	\$0.00	
		charged	\$930.00	
<p>a. [X] Check(s) in the amount of <u>\$890.00</u> and <u>\$40.00</u> to cover the above fees is enclosed.</p> <p>b. [] Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2725</u>.</p>				
<p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>				
SEND ALL CORRESPONDENCE TO: Douglas P. Mueller MERCHANT & GOULD P.O. Box 2903 Minneapolis, MN 55402-0903		 SIGNATURE: _____ NAME: Douglas P. Mueller REGISTRATION NUMBER: 30,300		

10/070288

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Nakanishi et al.

JC05 Rec'd PCT/PW

28 FEB 2002

Docket: 10873.887USWO

Title: OPTICAL ELEMENT, SEMICONDUCTOR DEVICE, AND OPTICAL INFORMATION
RECORDING DEVICE EMPLOYING THE SAME

CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL669944329US

Date of Deposit: February 28, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By: 
Name: Chris Stordahl

BOX PATENT APPLICATION

Commissioner for Patents
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- National Stage PCT Patent Application: Spec. 13 pgs; 20 claims; Abstract 1 pgs.
The fee has been calculated as shown below in the 'Claims as Filed' table.
- 9 sheets of formal drawings
- A signed Combined Declaration and Power of Attorney
- Assignment of the invention to Matsushita Electric Industrial Co., Ltd, Recordation Form Cover Sheet
- A check in the amount of \$890.00 to cover the Filing Fee
- A check for \$40.00 to cover the Assignment Recording Fee.
- Application Data Sheet, 5 pages.
- Other: Preliminary Amendment; Mark-up copy showing the changes made; PCT request and its English translation; Translation of Article 19 Amendment; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/346
- Return postcard

CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$890.00
Total Claims								
20	-	20	=	0	x	18.00	=	\$0.00
Independent Claims								
3	-	3	=	0	x	84.00	=	\$0.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$890.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

By: Name: Douglas P. Mueller
Reg. No.: 30,300
Initials: D. Mueller:hb

23552

PATENT TRADEMARK OFFICE

(PTO TRANSMITTAL - NEW FILING)